11 Ways to Better Claim Submittals
… and Improved Reimbursement

Notes from the Claims and Payment Section

Complete claim submittals translate into quicker reimbursement and quicker cleanup – it's a win-win situation for everyone. We are working to find ways to make the process a smoother one. To help, we have identified 11 areas in need of attention and tips on each.

1. Resources

How do you know what to submit and when? This may seem obvious but the first step is to tap into the resources that are readily available. 401 KAR 42:250 and all related forms can be found easily on our Web site. If you have anything to do with submitting claims, this is truly a golden resource. There are instructions that are specific to and accompany each worksheet. These instructions explain what to provide with each claim request.

2. Ingredients of Claims Submitted in accordance with 401 KAR 42:250 Sections 9, 12, 13, 14, 15 and 16

In short, all claims submitted in accordance with these sections require submittal of the following:

- Claim Request Form DEP 6064/01/06
- Invoice Listing Form DEP6065/01/06
- Required worksheet for each section
- Payment Verification Affidavit Form DEP6075/01/06
- If required, a Payment Waiver Form DEP6077/01/06

NOTE: On directives that require pre-approval, submit one claim per directive with the exception of drum disposal. For example, if two MEME events are directed, the MEME events and the associated water disposal should be submitted under one claim.

3. Worksheets for Pre-established Fixed Cost Directives

A pre-established fixed cost directive (one issued under 401 KAR 42:250 Section 7) has an attached worksheet. The worksheet has a signature page that must be completed and signed by the applicant that applied for reimbursement; also see section labeled "IMPORTANT" in #8. The entire worksheet and signature page must be submitted for reimbursement. As a friendly reminder, please remember to not modify the worksheet, add it to another claim or submit forms that aren't required in these cases i.e. a Claim Request Form DEP6064/01/06, Invoice Listing Form DEP6065/01/06 or Affidavit/Waivers.

4. Invoice Listing Form DEP6065/01/06

When filling out this form make sure the following information is complete:

- Agency Interest #
- Application #
- Start Date (date work started for the claim being submitted)
- End Date (date work was completed [including reporting] for the claim being submitted)
- Inv. # (the worksheet number that is being submitted i.e. if you are submitting the Miscellaneous Tasks worksheet, list 6066H in the Inv. # field)
- Invoice Amount (amount listed under Total on the worksheet)
- Contractor (Prime Contractor submitting in the claim)
- Activities Performed (work completed as identified on the worksheet)

NOTE: The total amount on the worksheet should match the amount listed on the Invoice Listing Form DEP6065/01/06 and the Claim Request Form DEP6064/01/06.

5. Quarterly Monitoring Reports and System Maintenance

This concerns claims being submitted under 401 KAR 42:250 Section 13 for Quarterly Monitoring Reports and System Maintenance. Submit a separate claim for each quarter and make sure all costs associated with that quarter are included with one exception … drum disposal. Drum disposal can be submitted on the Miscellaneous Tasks Worksheet in accordance with 401 KAR 42:250 Section 15.

- It's important that the Invoice Listing Form DEP6065/01/06 is completed correctly for these claims. Make sure the Start and End dates on the form are correct since these dates identify the quarter for which the claim is being submitted.
- Under Activities Performed, indicate the quarter for which the claim is being submitted. Example: If the work was completed for the first quarter of sampling and operation and maintenance of a system, under Activities Performed enter "1st quarter Quarterly Monitoring and O&M 2009."

6. Backup Documentation

Here's another place the instruction sheets come in handy. When submitting a claim, refer to the instruction sheet associated with each worksheet to determine what backup documentation is required.

- Invoices (prime contractor and subcontractor), time sheets and lab analysis, are not required to be submitted unless directed in the instruction sheet associated with each worksheet.
- When submitting a claim under 401 KAR 42:250 Section 15 (Claims for Miscellaneous Tasks) and Section 9 (Claim Submittal for Declared Emergency Actions), there is an item on the associated worksheets called "Other Costs." For the "Other Costs" item on these worksheets, the associated instruction sheets say,

  > "… An invoice shall be submitted for any tasks required that do not fall within one of the listed tasks. The invoice provided shall clearly show the actions completed in chronological order. Backup documentation shall be submitted to support the hours of the personnel performing the tasks and the equipment used to complete the tasks. Actions necessary as a result of mistakes, omissions, or inefficiencies occurring during the performance of corrective action shall not be reimbursed."

  Under Section 15, what is being submitted for reimbursement is the invoice that was submitted for obligation. This is just to determine the not to exceed amount and what should be submitted in for reimbursement is the actual invoice showing the actual cost with backup documentation (e.g. time sheets, invoices, etc.).

7. Obligation Requests for Directives not issued with a Pre-established Fixed Cost

When submitting obligation requests for directives not issued with pre-established fixed costs, be aware that the obligations made on those aren't fixed costs. For reimbursement, don't submit the worksheet returned with the obligation approval. Instead, a new worksheet must be completed showing the actual work performed.

Example: When completing a claim for quarterly monitoring and the obligation was for sampling seven wells, but only two wells were located and sampled, you would then complete the worksheet for sampling two wells (not seven). If the other five wells were located but were dry, then you would complete the gauging portion reflecting five wells.

8. Signature Page

The completion of the signature page is only required when the directive associated with the worksheet was issued under 401 KAR 42:250 Section 7 and was a pre-established fixed cost directive. For claims being submitted under 401 KAR 42:250 Section 12, the signature page associated with the worksheet is not required to be submitted with the Claim Request Form DEP6064/01/06.

IMPORTANT: Make sure that the name on the signature page of the worksheet under Name of Owner/Operator and on the Claim Request Form under Facility Owner/Operator (Applicant's) name is the name of the party seeking reimbursement. This should be the same as the name on the Application for Assistance that was submitted and approved. The Finance Cabinet will not process a payment for reimbursement unless these names match.

9. Owner Changes

Submitting a new or updated UST Facility Registration Form does not update or change the responsible party seeking reimbursement from the Petroleum Storage Tank Environmental Assurance Fund (PSTEAF). If a new owner is going to take over the environmental liability, they must submit an "Amended" Application for Assistance. In this case write "Amended" on the form so it's not mistaken for a new Application for Assistance.

10. Contractor Changes

If the Prime Contractor changes and a new contract with another contractor is obtained by the applicant seeking reimbursement, we'll need a revocation letter from the owner that revokes the contract with the past company. If the past company has an LPOA, that will also have to be revoked by the applicant. In this case, an amended Application for Assistance isn't required and shouldn't be submitted.

11. Obligation Requests

When submitting an obligation request, please provide a cover letter stating that it is an obligation request. This will make is easier to for us to send it to the correct section for review.

NOTE: The signature page associated with a worksheet being submitted for pre-approval doesn't need to be completed. The same signature page isn't required to be completed when submitting a claim for reimbursement for a worksheet that required pre-approval of costs.

We hope that these tips have covered some of questions you may have and will help make the reimbursement process a smoother one for everyone. We encourage you to refer to 401 KAR 42:250 for reference. Feel free to contact the USTB Claims and Payment Section with any questions or comments at 502-564-5981.